

Edgar Filing: LUBRIZOL CORP - Form 4

LUBRIZOL CORP  
Form 4  
March 09, 2001

UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON, D.C. 20549  
FORM 4

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

( ) Check this box if no longer subject to Section 16.  
Form 4 or Form 5 obligations may continue. See Instructions 1(b).

1. Name and Address of Reporting Person  
Bauer, Joseph W.  
29400 Lakeland Boulevard  
Wickliffe, OH 44092
2. Issuer Name and Ticker or Trading Symbol  
The Lubrizol Corporation  
LZ
3. IRS or Social Security Number of Reporting Person (Voluntary)
4. Statement for Month/Year  
02/28/01
5. If Amendment, Date of Original (Month/Year)
6. Relationship of Reporting Person(s) to Issuer (Check all applicable)  
( ) Director ( ) 10% Owner (X) Officer (give title below) ( ) Other  
(specify below)  
Vice President and General Counsel
7. Individual or Joint/Group Filing (Check Applicable Line)  
(X) Form filed by One Reporting Person  
( ) Form filed by More than One Reporting Person

Table I -- Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security | 2. Transaction Date | 3. Transaction Code | 4. Securities Acquired (A) or Disposed of (D) |           | 5. Amount of Securities Beneficially Owned at End of Month |
|----------------------|---------------------|---------------------|-----------------------------------------------|-----------|------------------------------------------------------------|
|                      |                     |                     | Amount                                        | Price     |                                                            |
| Common Shares        | 2/21/01             | M                   | 2,500                                         | \$25.7813 |                                                            |
| Common Shares        | 2/21/01             | M                   | 3,000                                         | \$21.3428 |                                                            |
| Common Shares        | 2/21/01             | S                   | 4,720                                         | \$31.45   | 1,882.7648                                                 |
| Common Shares        |                     |                     |                                               |           | 1,951.8336 (1)                                             |

Table II -- Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Derivative Security | 2. Conversion or Exercise | 3. Transaction | 4. Transaction | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities | 8. Put or Call |
|---------------------------------|---------------------------|----------------|----------------|--------------------------------------------------------------------|----------------------------------------------------------|----------------------------------------------|----------------|
|---------------------------------|---------------------------|----------------|----------------|--------------------------------------------------------------------|----------------------------------------------------------|----------------------------------------------|----------------|

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|                                         | Price of  |         |      | posed of (D) | Day/Year) |       |       |           | Title and Number |       |
|-----------------------------------------|-----------|---------|------|--------------|-----------|-------|-------|-----------|------------------|-------|
|                                         | Deriva-   |         |      |              | Date      | Expir |       |           | of Shares        |       |
|                                         | tive      |         |      |              | A/        | Exer- | ation |           |                  |       |
|                                         | Secu-     |         |      |              | D         | cisa- | Date  |           |                  |       |
|                                         | urity     | Date    | Code | V            | Amount    | ble   |       |           |                  |       |
| Employee Stock Option<br>(Right to Buy) | \$25.7813 | 2/21/01 | M    |              | 2,500     | D     | Curre | 3/25/2001 | Common Share     | 2,500 |
| Employee Stock Option<br>(Right to Buy) | \$21.3438 | 2/21/01 | M    |              | 3,000     | D     | (2)   | 3/22/2009 | Common Share     | 3,000 |

Explanation of Responses:

(1) Reflects end-of-period holdings resulting from acquisitions pursuant to a qualified plan, which are exempt under Section 16b-3(c).

(2) Options vest 50% one year after grant date, 75% two years after grant date and 100% three years after grant date.

SIGNATURE OF REPORTING PERSON

/s/ Joseph W. Bauer by Leslie M. Reynolds

DATE

March 9, 2001